

United States
Environmental Protection
Agency

EPA 540 K-93-004
Publication 9230.1-09B
PB93-963353
September 1993

Office of Solid Waste and Emergency Response



Superfund Technical Assistance Grant (TAG) Handbook:

The Application Forms with Instructions

EPA CONTACTS

For more information about the Technical Assistance Grant (TAG) Program, contact:

Regional TAG Coordinator:

Community Involvement Coordinator:

National TAG Coordinator
U.S. Environmental Protection Agency (5204G)
401 M Street, SW
Washington, DC 20460
(703) 603-8889

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SAMPLE APPLICATION DOCUMENTS WITH STEP-BY-STEP INSTRUCTIONS

Detailed instructions to assist you in completing the TAG application forms are included in this booklet, along with sample completed forms and blank forms. The samples show the questions filled in with the “answers” of a hypothetical group called the Woodtown Landfill Coalition.

To simplify your work, EPA has filled in those items on the grant forms that are the same for all TAG applicants. The instructions offered are for those items that you need to complete.

You will find the following sample documents and forms in this booklet:

- Letter of Intent (LOI).
- Application for Federal Assistance:
 - General Information, Signature, and Certification (SF 424).
 - Budget Information (SF 424A).
 - Assurances (SF 424B).
 - Project Narrative Statement.
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters (EPA Form 5700-49) (needed only if your group is seeking a grant of \$25,000 or more).
- Drug Free Workplace Certification.
- Certification Regarding Lobbying (needed only if your group is applying for technical assistance at multiple sites and could potentially receive more than \$100,000 in total grant funding).

The blank forms can be used to complete your TAG application. **Before filling out your application, you may find it useful to photocopy the blank application forms to create a draft set.** If questions arise as you complete these forms, please do not hesitate to discuss them with your Regional TAG Coordinator.

SAMPLE LETTER OF INTENT (LOI)

Woodtown Landfill Coalition
Main Street
Woodtown, CT 06898

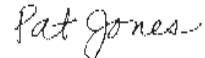
May 3, 1993

TAG Project Officer
Superfund Management
EPA Region 1
Mail Code: HPC-CAN7
John F. Kennedy Federal Building
Boston, MA 02203

Dear Sir/Madam:

This letter has been prepared by the Woodtown Landfill Coalition to announce this group's intention to apply for a Technical Assistance Grant. The Coalition, which is composed of the Woodtown Citizens Task Force and the Smithtown Outing Club, plans to use any awarded grant funds to obtain assistance in interpreting technical information generated during the Superfund cleanup process at the Woodtown Landfill site in Litchfield County, Connecticut. Please send an application and other relevant materials to the Woodtown Landfill Coalition, in care of Pat Jones, at the address listed above. The group hopes to file its application in July 1993.

Sincerely,

A handwritten signature in cursive script that reads "Pat Jones".

Pat Jones, Executive Director
Woodtown Landfill Coalition

APPLICATION FOR FEDERAL ASSISTANCE

GENERAL INFORMATION, SIGNATURE, AND CERTIFICATION (SF 424)

Section I—Applicant/Recipient Data

2. Applicant's Application Identifier
Date: *Write the current date.*
Identifier: *Leave Blank.*
3. State Application Identifier
Date and Identifier: *Leave Blank.*
4. Federal Identifier
Date and Identifier: *Leave Blank.*
5. Applicant Information: *List the name and address of your group and the name and telephone number of a contact person who would be able to supply additional information if necessary. "Organization unit" is not applicable to TAG applicants.*
6. Employer ID Number: *This number is obtained from the Internal Revenue Service, using Form SS-4 ("Application for Employer Identification Number"). If you have applied for the number but have not yet received it, write "Applied For" next to the boxes.*
8. Type of Application: *Check the appropriate box (either "new" or "continuation").*
11. Title of Project: *Enter the name of the Superfund site for which the grant will be used.*
12. Areas Affected by Project: *List the municipality or town(s), county(ies), and state(s) adjacent to, encompassing, and affected by the site.*
13. Proposed Project
Start Date: *Ask your EPA Regional Office the date that funding is likely to be approved if you receive an award. Write in this date or the date you wish to begin receiving funds, whichever is later.*
Ending Date: *Estimate the length of the project period, and add that to the start date to calculate the ending date. This period cannot exceed 36 months (three years).*
14. Congressional Districts:
 - a. Applicant: *Write the district number(s) and state abbreviation(s) of the member(s) of Congress who represents the area where the offices of the incorporated group are located.*
 - b. Project: *Write the district number(s) and state abbreviation(s) of the member(s) of Congress representing the area that encompasses the site.*
15. Estimated Funding: *Enter the amount of funds needed for the first budget period, indicated in the Statement of Work. The amount in line "a," EPA's proposed funding, cannot be more than 80 percent of the amount in line "f," the total funding, and initially cannot be more than \$50,000.*
16. Intergovernmental Review: *Call or write your state's intergovernmental review contact to find out how and where to submit your application for review. Enter the date that the application was made available to the appropriate state contact under "a. YES." If there is no review process in your state, check the second box under "b. NO."*
17. Federal Debt: *Check either "Yes" or "No," and attach an explanation if "Yes."*
18. Applicant Certification: *Fill in "a"-"c". Your group's project manager must sign and date "d" and "e."*

APPLICATION FOR FEDERAL ASSISTANCE

UDM Approval No. 0345-3043

1. TYPE OF SUBMISSION <input type="checkbox"/> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED 7/10/93	Approved Identifier
3. DATE RECEIVED BY STATE		State Application Identifier	
4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	

5. APPLICANT INFORMATION

Agency Name: <u>Woodtown Landfill Coalition</u> Address (include county, state, and zip code) <u>Main Street</u> <u>Woodtown, CT 06898</u> <u>Litchfield County</u>	Organizational Unit: <u>NA</u> Name and telephone number of person to be contacted on matters involving this application (include title) <u>Pat Jones (203) ### ####</u>
---	--

6. EMPLOYER IDENTIFICATION NUMBER (EIN)

X	X	-	X	X	X	X	X	X	X	X
---	---	---	---	---	---	---	---	---	---	---

7. TYPE OF APPLICANT (check appropriate letter in box)

A. State	4. Independent School Dist.
B. County	5. State Commission Institution of Higher Learning
C. Municipality	6. Private University
D. Township	7. Indian Tribe
E. Interstate	8. Interstate
F. International	9. Other (State/Nonprofit/Citizen Organization)
G. Survival District	

8. TYPE OF APPLICATION

☒ New ☐ Continuation ☐ Renewal

9. HOWARD AWARD (for 100% or more of the cost) ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration
 D. Decrease Duration Other (specify)

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 66-806

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
Technical Assistance at the Woodtown Landfill Site

12. AREAS AFFECTED BY PROJECT (Name, Counties, States, etc.)
Smithtown, Woodtown, Litchfield, CT

13. PROPOSED PROJECT (14. CONGRESSIONAL DISTRICTS OF)

Start Date	Ending Date	A. Address
9/1/94	9/1/97	6 (CT)

15. ESTIMATED FUNDING

a. Federal	\$	00
b. Applicant	\$	00
c. State	\$.00
d. Local	\$.00
e. Other	\$.00
f. Program Income	\$.00
g. TOTAL	\$	00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/NOTIFICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:

DATE: 7/10/93

b. NO. ☐ PROGRAM IS NOT COVERED BY S.O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

Yes ☐ No ☒ If "Yes," attach an explanation.

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

19. Type/Name of Authorized Representative <u>Pat Jones</u> Signature of Authorized Representative <u>Pat Jones</u> Printed Name (last, first, middle) Authorized for this Application	20. Title <u>Executive Director</u>	21. Telephone Number <u>(203) ### ####</u> Date Signed <u>7/10/93</u> Standard Form 424 (REV. 4-92) Prescribed by OMB Circular A-82
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BUDGET INFORMATION (SF 424A)

Section A — Budget Summary

1. Grant Program, Function, or Activity

Enter the name of the Superfund site on line 1.

2.-5.

Write "See Detailed Budget in Project Narrative Statement, Section 2(B)" in line 2 across columns (d)-(g) (budget information is requested in Project Narrative Statement).

Section B — Budget Categories

6.a-6.k and 7.

Write "See Detailed Budget in Project Narrative Statement, Section 2(B)" in line 6.b across columns (2)-(5).

BUDGET INFORMATION - Non-Construction Programs									
Section A: BUDGET SUMMARY									
Local Program Function or Activity	Category of Federal Domestic Assistance Number	Federal Funds	Non-Federal Funds	Federal Funds	Non-Federal Funds	Total Funds	New or Revised Budget		
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)
1. Technical Assistance	66.806	\$	\$	\$	\$	\$			
2. Grant Activity - Construction									
3. Other									
4.									
5. Totals		\$	\$	\$	\$	\$			
Section B: BUDGET CATEGORIES									
6. Object Class Categories		Technical Assistance	Other Program Functions						
a. Personnel									
a. Fringe Benefits									
c. Travel									
d. Equipment									
e. Supplies									
f. Contractual									
g. Construction									
h. Other									
i. Indirect Charges (Section 6.81)									
j. Indirect Charges									
k. TOTALS (Sum of 6 and G)		\$	\$	\$	\$	\$			
7. Program Income		\$	\$	\$	\$	\$			

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BUDGET INFORMATION (cont.)

Section C — Non-Federal Resources

8.a. Grant Program

Enter the name of the Superfund site in column (a).

8.b-8.e and 9.-12.

Write "See Detailed Budget in Project Narrative Statement, Section 2(B)" in line 9, across columns (b) - (e).

Section D — Forecasted Cash Needs

13-14. Federal/Non-Federal

Section D represents the cash needs of the first year of your three-year budget period. Enter the estimated dollar amounts for the stated time periods. Use the proposed three-year schedule of tasks included in the Statement of Work to estimate first year cash needs. (Don't spend a lot of time on this section—a rough estimate is fine.)

15. Totals

Total the amounts of lines 13 and 14 for each column.

Section E — Budget Estimates of Federal Funds Needed for Balance of the Project

16.a. Grant Program

Enter the name of the Superfund site.

16.b-e and 17.-20.

In columns (b), (c), (d), and (e), enter your rough estimate of the amount of federal funds needed for technical assistance for the years after the initial budget period. (This refers to any grant funds you expect to have left after three years.)

Section F — Other Budget Information

23. Remarks

Do not complete.

SECTION D - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
1. Technical Assistance at: Woodtown Landfill Site				
2. See detailed budget in Project Narrative Statement, Section 2(B)				
3.				
4.				
5. TOTAL (sum of lines 1 - 4)				
SECTION E - REQUESTED CASH NEEDS				
(a) Federal	(b) Other	(c) Other	(d) Other	(e) TOTAL
6. \$ 8,544	\$ 4,000	\$ 6,744	\$ 3,500	\$ 14,788
7. Non-Federal				
8. \$ 4,636	\$ 1,000	\$ 4,636	\$ 900	\$ 6,536
9. TOTAL (sum of lines 6 and 8)				
SECTION F - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	(b) First	(c) Second	(d) Third	(e) Fourth
10. Technical Assistance Grant at Woodtown Landfill Site	\$ none	\$ none	\$ none	\$ none
11.				
12.				
13. TOTAL (sum of lines 10-12)				
SECTION G - OTHER BUDGET INFORMATION				
14. Direct Charges	22. Indirect Charges			
15. Remarks:				

ASSURANCES (SF 424B)

This form contains the regulations, policies, guidelines, and requirements to which your group must adhere. You should read these carefully and then your group's project manager should sign at the bottom of the page. Be sure to submit this sheet with the rest of your application package.

CMB Approval No. 034B 0040

ASSURANCES — NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTES: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to carry to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicap; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §4523 and 327 of the Public Health Service Act of 1912 (42 U.S.C. 290 ed 3 and 290 ed 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7338) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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9. Will comply, as applicable, with the provisions of the Davis Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §§276c and 18 U.S.C. §§874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification or violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11996; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§ 1401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.)
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133. Audits of Institutions of Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL:

Pat Jones

APPLICANT ORGANIZATION

Woodtown Landfill Coalition

TITLE

Executive Director

DATE SUBMITTED

7/10/93

Standard Form 424B (Rev. 4/92) back

PROJECT NARRATIVE STATEMENT

The Project Narrative Statement consists of two sections. The first section, "Group Qualifications," is used by EPA to obtain information about your group's eligibility, characteristics, and plans for using grant funds.

The form for the Project Narrative Statement follows a question and answer format which is, for the most part, self-explanatory. To illustrate the type of information sought, the sample application shows the questions filled in with the "answers" (in bold, italic type) of a hypothetical group called the Woodtown Landfill Coalition. Additional instructions are given where applicable.

PROJECT NARRATIVE STATEMENT

Section 1 (Group Qualifications)

A. Group Eligibility

1. Do any of the following categories apply to your group? no (yes/no) If the answer is yes, check the categories below that apply and provide a detailed explanation.

☐ Are any members of your group potentially responsible parties (PRPs)?

☐ Was your group established by a PRP?

☐ Was/is your group sustained by a PRP?

☐ Was your group established by, or is it presently sustained by, any of the following:

☐ a corporation that is not incorporated for the specific purpose of representing affected individuals at the site?

☐ an academic institution?

☐ a political subdivision?

☐ Does anyone in your group have financial involvement in a PRP (as other than an employee or contractor)?

2. How many members are in your group? 105 Is it made up of a coalition of groups? yes (yes/no) If so, how many, and how did the groups come together? If not, how was your group formed?

The Woodtown Landfill Coalition is composed of members from two groups—the Woodtown Citizen Task Force of Woodtown, CT, and the Smithtown Outing Club of Smithtown, CT. The main concern of the Woodtown Citizen Task Force, formed in 1986, is health effects resulting from contamination at the site. The Smithtown Outing Club, founded in 1965, organizes a variety of outdoor trips around Litchfield County. The Club's main concern is the effects of contamination from the Woodtown Landfill site on the surrounding environment. Since both groups require technical assistance, they have chosen to form an incorporated coalition for the purposes of this program.

PROJECT NARRATIVE STATEMENT, cont.

Section 1—Group Qualifications

B1. Administrative and Management Capabilities

The “attached bylaws” referred to in the sample answer are mentioned for the sake of instruction only, and have not actually been appended to this example because they will vary on a case-by-case basis. Your group should include such bylaws when submitting your application if you are incorporated.

B2. Resources for Project Completion

The value of equipment, such as an adding machine or typewriter supplied by your group, may be counted as an in-kind contribution. However, only that portion of the property’s use directly attributable to the TAG project counts as an in-kind contribution.

The value of donated space, such as an office for the technical advisor(s), may be considered an in-kind contribution, but it must not exceed the fair rental value of comparable space in a privately-owned building in your community. If donated space is used for purposes other than the TAG project, only the portion associated with the TAG project counts as an in-kind contribution.

Section 1, cont.

B. Responsibility Requirements

1. **Administrative and Management Capabilities:** Please briefly describe the organizational structure of your group in the space below. (Describe roles and responsibilities of members, particularly members who will be responsible for financial management of the grant and directing the activities of the contractor.)

Both the Woodtown Citizen Task Force and the Smithtown Outing Club have operated as nonprofit organizations for at least five years and have existing administrative structures that oversee and guide their activities. The Woodtown Landfill Coalition is also nonprofit, and will be managed by a four-person executive committee composed of the two presidents and the two treasurers of the respective groups. One member of the executive committee has been designated as Executive Director of the Coalition. The Executive Director will be the group's designated representative for the purpose of signing all documents related to the grant. The executive committee will direct the technical advisor and oversee the entire project. The two treasurers will be responsible for all financial oversight. The attached bylaws provide additional details about the administrative structure of the Woodtown Landfill Coalition.

2. **Resources for Project Completion:** What resources are available to your group to help complete the TAG Project? (Include any plans that your group has for in-kind contributions or for fund-raising and obtaining cash.)

To complete our technical assistance project, we will require the services of a technical advisor for three years. At this time, the total estimated budget for the entire project will be \$62,500. Of this amount, the federal share will be \$50,000. We will match the federal share of \$50,000 with \$12,500 — 20 percent of the total project cost — with a combination of cash and in-kind contributions. The cash portion will come from annual dues and fund-raising activities such as the Smithtown Canoe Rally and Woodtown Recycling Drive. In the past three years, we averaged \$1,500, collectively, from these fund-raising activities. We also have received about \$500 in donations in each of those years. In-kind contributions will come from donated meeting space, planning activities, time spend managing the technical advisor, accounting services, writing and editing services, and time required to put out mailings. A local businessman (a member and an officer of the Woodtown Citizen Task Force) will donate meeting space for use by the Coalition on an as-need basis throughout the life of the project. A certified public accountant will donate services to provide accounting assistance to the Coalition. A local free-lance writer and a local newspaper editor will design, write, and edit a newsletter devoted solely to the site and technical assistance project. Attachment 1.B provides a detailed budget, including a breakdown of federal and matching shares.

PROJECT NARRATIVE STATEMENT, cont.

Section 1—Group Qualifications

B3. Performance Record

The sample answer refers to Attachment 1.B., “Proposed Schedule and Costs for Technical Advisor.” The Attachment illustrates one way of displaying the tasks, timeframe, and budget. TAG applicants may display this information in a different way if they choose.

Section 1, cont.

3. **Performance Record:** Please describe your group's past performance with satisfactorily completing projects and contract. (If your group has no past experience, EPA will evaluate the description, budget, and schedule you provide in Section 2 of this application.)

Although neither of the founding groups (Woodtown Citizen Task Force and Smithtown Outing Club) nor the new Coalition previously have received federal funds, we believe the group can satisfactorily complete the proposed TAG project. Both groups have successfully organized and carried out fund-raising and community events, entailing organizing and budgeting activities. The State of Work (Attachment 1.A) included in this application describes in detail our proposed plan for use of a technical advisor's service.

Attachment 1.B., "Proposed Schedule and Costs for Technical Advisor," ties our Statement of Work to our budget. The primary areas of past involvement are health and environmental concerns.

4. **Accounting and Auditing Procedures:** What procedures does your group plan to use for recordkeeping and financial accountability related to the grant? Please identify the member of your group who will maintain your financial records.

Our financial management system complies with a generally accepted accounting procedures. We will establish and maintain a separate bank account and a general ledger for the sole management of the TAG. The two treasurers on the Executive Committee, Mary Jones and Fred Smith, will maintain all financial records related to the grant. These records will be stored in a central file in the same office where the Coalition meetings will be held. A phone log will be maintained by the Coalition's officers. In addition, contractors will be expected to keep a telephone log and other records of their activities and expenditures.

A member of the Woodtown Landfill Coalition, originally from the Smithtown Outing Club, is a certified public accountant and has volunteered to assist in the financial oversight of grant funds. He will advise the group on completing financial reports required by EPA and the state. In addition, an outside accounting firm will be brought in to perform an independent audit every other year, as required by federal regulations, in the event that the group receives \$25,000 or more in reimbursements from EPA in any given year.

PROJECT NARRATIVE STATEMENT, cont.

B5. Incorporation

You may meet the incorporation requirement by stating that your group, if not already incorporated, has filed the necessary forms for incorporating.

Once your group is informed that it has been chosen to receive a grant, you must affirm that your group has filed the necessary papers for incorporation with the state. However, on or before your first request for payment, you must submit to EPA documentation (such as a letter from the state) that your group has been incorporated officially by the state.

If your group is incorporated for some other purpose, it must be reincorporated for the purpose of administering a TAG.

The letter and bylaws referenced in the sample answer have not actually been appended to this example because they will vary from case to case. They are referred to for illustration purposes only.

B6. Drug-Free Workplace

This statement must be completed in order to comply with the Anti-Drug Abuse Policy Act of 1988.

C1. Health Considerations

Explain whether your group members are subject to demonstrable health threats, whether actual or potential, or to a threat that group members reasonably believe to be substantial. However, your inability to provide documentation of health problems related to the site will not necessarily prevent you from receiving a grant, provided the other evaluation criteria are met.

Section 1, cont.

5. **Incorporation:** Is your group incorporated specifically for the purpose of addressing problems at this site? yes (yes/no) If not, what steps is your group taking to incorporate for grant-related purposes?

The Woodtown Landfill Coalition filed for and received approval from the state of Connecticut for incorporation as anon-profit organization. Attached is a copy of the letter from the state approving the group for incorporation. In addition, a copy of the group's bylaws has been attached. This document provides a description of the administrative structure of the Woodtown Landfill Coalition and general group goals.

6. **Drug-Free Workplace Policy:** Does your group promise not to engage in illegal drug-related activities while carrying out activities using TAG funds? yes (yes/no)

C. Group Issues and Objectives

1. **Health Considerations:** How many group members have experienced health effects from contamination at the site? unknown Describe actual or potential health threats the site poses to individual group members and the efforts members of your group have undertaken to resolve or make known these health concerns.

Concern about contaminated private wells and possible health effects resulting from the contamination at the site led to the initial formation of the Task Force. As explained in a private sampling report, residents' well water continues to be undrinkable due to its strong odor, brownish color, and unpleasant taste, which the Task Force believes to be solely caused by contamination from the Woodtown Landfill site. Several residents have reported to the Task Force that they have experienced mysterious skin rashes after bathing in well water and are concerned about their health. As a result, community members have had to resort to using bottled water for nearly four years. EPA is considering members' requests for an alternate water supply after the Agency has completed its sampling at the landfill. The Woodtown Citizen Task Force, as a member of the Woodtown Coalition, wants to ensure specifically that all potential health risks that are related to the site are investigated thoroughly and that the remedial action selected will restore the quality of community well water supplies.

PROJECT NARRATIVE STATEMENT, cont.

Section 1, cont.

2. **Consolidation/Representation:** Describe the number and diversity of affected community organizations and individuals represented by your group, highlighting the ways in which your group represents individuals affected by the site.

The Woodtown Landfill Coalition has a diverse membership that represents much of the community's interests and concerns about the Woodtown Landfill site. Over 75 percent of the members live within a five mile radius of the site. Coalition members believe that this organized effort will positively affect both members of the group and individuals in the community by providing a single contract from which community concerns can be addressed. The Coalition itself does not have along history with the Woodtown Landfill site, but its composite organization have been active in dealing with site issues since the site was listed on the NPL in 1986.

3. **Tasks for Technical Advisors:** Please describe how your group intends to use your technical advisor to interpret technical Superfund information.

The primary purpose of the tasks to be performed by the technical advisor is to help members of the Woodtown Landfill Coalition better understand the technical information, data, reports, designs, and oral presentations provided by EPA and the state in the course of studying and conducting remedial activities at the Woodtown Landfill site. By interpreting, analyzing, and evaluating the information, the technical advisor will aid our group in commenting more productively and effectively on remedial activities at the site. The ultimate goal of the technical assistance project is to help us help EPA clean up our drinking water and restore the Rolling River to its previous recreational uses. A more detailed description of the tasks to be performed by the technical advisory is given in the Statement of Work (Attachment 1.A.) and in the Proposed Schedule of Tasks and Costs for Technical Advisors (Attachment 1.B.).

4. **Information Sharing:** How does your group intend to share information collected with grant funds with the larger community?

To keep community members informed of activities at the Woodtown Landfill site, the Woodtown Landfill Coalition will produce six issues of a newsletter containing information generated by the technical advisor(s). 320 copies of this newsletter will be printed for each issues: 200 copies will be distributed by hand to interested community members and 120 copies will be mailed directly to Coalition members and the local press. In addition, all final documents produced by technical advisor(s) will be sent to EPA to be placed in the information repositories established for the site at a location accessible to interested community members (the Woodtown Public Library). To encourage community involvement in activities related to the site, the Coalition will make all of its general monthly meetings open to the public. Additionally, before EPA's public meeting on the Feasibility Study, the Coalition will make all of its general monthly meetings open to the public. Additionally, before EPA's public meeting of the Feasibility Study, the Coalition will hold a community forum to brief the public on the technical advisor's findings. The coalition will advertise the meeting by putting an ad in the local newspaper.

PROJECT NARRATIVE STATEMENT, cont.

C5. Economic/Environmental Considerations

Under this item, you should try to establish whether your group members may be subject to:

- *A demonstrable economic threat.*
- *Impairment of the group's use and enjoyment of the environment, whether actual or potential.*
- *A threat that is reasonably believed to be substantial.*

If you are unable to provide documentation of economic or environmental problems related to the site, you may still be able to obtain a grant, provided other criteria are met.

Section 2 — Statement of Work for the Technical Advisor

The second section of the Project Narrative Statement is the Statement of Work for the technical advisor(s). In this section, your group describes how a grant award would be used with respect to Superfund technical milestones (for example, review of the Remedial Investigation Report) and provides your proposed budget.

To help determine projected tasks for your advisor and a tentative schedule in preparing the Statement of Work, you are encouraged to review the pamphlets and fact sheets on the Superfund and TAG Programs. Also, review the "Superfund TAG Handbook: Applying for Your Grant," which discusses the role of the technical advisor(s), and the sample Statement of Work included in this booklet. For each task indicated in the Statement of Work, you will need to estimate the amount of time to be allotted to your technical advisor(s).

A. Statement of Work

This item requires a succinct explanation of what you plan to have your technical advisor(s) do at each stage of the site cleanup process. Be as complete as possible. Attachment 1.A. of the sample application shows one way of providing a Statement of Work. You may use a different format to provide this information if you wish. You should show estimates of the advisor's time to conduct his/her services during each phase of the cleanup process and the products you expect the advisor to provide.

Section 1, cont.

5. **Economic/Environmental Considerations:** How many group members have experienced economic/environmental impacts from contamination at the site? all. Please describe the actual or potential economic harm or loss of environmental amenities the site has imposed on individual group members, and efforts group members have undertaken to resolve or make known these concerns.

Members of the Smithtown Outing Club have, since the Club's inception in 1965, actively organized a variety of swimming, canoeing, fishing, and hiking trips within Connecticut. Many of these Club-sponsored activities have taken place on or near the Rolling River. During the last decade, however, contamination from the Woodtown Landfill site has polluted the river, causing club members to fear swimming or canoeing in the river. Additionally, the state has banned fishing in the river. The Smithtown Outing Club, as a member of the Woodtown Landfill Coalition, wants the Woodtown Landfill site cleaned up so that the pollution caused by it will no longer damage the Rolling River.

A number of economic concerns face many of the members of the Woodtown Landfill Coalition. The main worry among Coalition members is that publicity about contamination from the landfill may cause the property values of homes with contaminated water or with river-front exposure to the Rolling River to decrease significantly. As a result, Coalition members support a timely cleanup of the Woodtown Landfill site before the effects of site contamination scare away potential buyers and significantly lower property values in the region. Coalition members also have experienced significantly lower property values in the region. Coalition members also have experienced significant financial burdens from not being able to use their well water. For example, members must purchase bottled water for drinking and cooking, and laundry cannot be washed in residential washing machines because the clothes become stained after washing them in the contaminated water.

Section 2 - Statement of Work for the Technical Advisor

- A. **Statement of Work:** Please identify the technical advisor(s)' tasks for each phase of the Superfund process. For each of these phases, please note what the technical advisor will do, the estimated amount of time needed to complete each task, and specific documents, reports, or other tangible work products you expect the technical advisor to produce.

See Attachment 1.A. and 1.B.

PROJECT NARRATIVE STATEMENT, cont.

B. Detailed Budget

This item requires you to translate the three-year Statement of Work into dollar figures. Attachments 1.B. and 1.C. on pages 35 and 37 show one way of doing this. The format is optional—the samples in the attachments are suggestions only.

Attachment 1.B. breaks down the general activities from Attachment 1.A. into specific tasks, hours, and dollars. Attachment 1.C. summarizes costs by type of activity and indicates whether they will come from federal TAG funds or the group's matching contribution.

The goods and services listed should include everything you think you will purchase with grant funds or with your group's matching share. To add items to the budget later, you will need EPA's written approval.

Section 2, cont.

- B. Detailed Budget:** Prepare a budget for the technical assistance project. Indicate the tasks to be completed by the technical advisor, the estimated number of hours, and the cost for each task (including travel costs). Use footnotes to explain assumptions made in the budget (such as hourly rate of advisor or adjustments for inflation). This budget should identify everything that you expect to purchase with grant funds.

The budget should show the amount of the group's matching contribution separately from federal funds. Note that the grant funds (usually 80 percent) plus group contribution (usually 20 percent) must equal the total project costs; grant funds cannot exceed 80 percent of project costs for any budget period. In your statement, be sure that you differentiate cash expenditures from in-kind contributions. Also, include explanations of the assumptions made in calculating the value of in-kind contributions.

See Attachment 1.C.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (EPA FORM 5700-49)

All TAG applicants and some contractor candidates must submit this form.

On the first line, enter your group's name and the name and title of your group's project manager as they appear on page 1 of the main application form under Items 5 and 18.a.

Your group's project manager must sign and date the second line. If you cannot sign this certification, check the box and attach an explanation of why you cannot.



EPA Project Control Number

United States Environmental Protection Agency
Washington, DC 20460

**Certification Regarding
Debarment, Suspension, and Other Responsibility Matters**

The prospective participant certifies to the best of its knowledge and belief that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

Typed Name & Title of Authorized Representative

Pat Jones, Executive Director

Signature of Authorized Representative

Pat Jones

Date

7/10/93

☐ I am unable to certify to the above statements. My explanation is attached.

EPA Form 5700-49 (11-88)

DRUG FREE WORKPLACE CERTIFICATION

You must sign this certification and submit it with your TAG application.

In addition, your group must post a notice stating the drug free policy in locations where group members will be doing TAG-related work, such as the office or workspace used to administer the TAG.

Assistance Identification Number: _____

CERTIFICATION — DRUG FREE WORKPLACE ACT OF 1988

The recipient certifies that it will provide a drug-free workplace by:

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the recipient's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) establishing a drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the recipient's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee engaged in the performance of the project be given a copy of the statement required by paragraph (a);
- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the award, the employee will:
 - (1) abide by the terms of the statement; and
 - (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) notifying the Award Official within ten days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction;
- (f) taking one of the following actions, with 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and including termination; or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

The recipient shall insert in the space provided below the site(s) for performance of work done in connection with the specific award

Place of performance (street address, city, county, state, zip code)

Woodtown Landfill Coalition, Main Street,

Litchfield County, Woodtown, CT 06898

Typed Name and Title of Authorized Representative
Pat Jones, Executive Director

Signature of Authorized Representative

Date

Pat Jones

7/10/93

CERTIFICATION REGARDING LOBBYING

This form is required only if your group is applying for technical assistance at multiple sites and could potentially receive more than \$100,000 in total grant funding.

Your group representative must sign and date this form. Submit it to your Regional Office with the completed TAG application.

EPA Project Control Number

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award of documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Woodlawn Landfill Coalition
Pat Jones, Executive Director

Typed Name and Title of Authorized Representative

Pat Jones
Signature of Authorized Representative

7/10/93
Date

Attachment 1.A.

Statement of Work

This section provides a detailed description of individual technical advisor tasks and their purposes. Technical assistance tasks described in this statement of work are based on conversations with the EPA Regional staff (the Remedial Project Manager and the Community Relation Coordinator for the site).

For all reports and reviews completed by the technical advisor, a memo will be prepared for the Coalition's leadership so that information can be relayed to the membership via the newsletter. The memo and newsletter also will be sent to EPA to be placed in the information repository for the site.

Remedial Investigation (Estimate: 160 hours, including one trip)

The advisor's first task will be to review the RI work plan, sampling plan, and quality assurance and quality control (QA/QC) plan. Special attention will be given to how EPA plans to investigate the migration of contamination from the Woodtown Landfill site into the Rolling River. The advisor will be expected to attend and participate in a proposed meeting between EPA staff and residents scheduled for the start of the RI. Upon completion of the RI report, the advisor will be expected to help the Coalition evaluate the results. Another key document to be reviewed by the advisor will be the risk assessment (if available).

Feasibility Study (Estimate: 300 hours, including one trip)

The advisor will complete a detailed analysis of the proposed remedies in the draft feasibility study and then brief the coalition on its contents. Additionally, the advisor will prepare a written report to aid the Coalition's preparation of public comments, specifically addressing the proposed cleanup measures. The advisor will make a presentation on his/her findings at a special community forum held by the Coalition prior to EPA's public meeting. The advisor will attend and participate in EPA's public meeting to be held in Woodtown during the public comment period. The single, two-day trip during this period will combine both the Coalition briefing and the public meeting.

The advisor will be expected to analyze the health assessment thoroughly to ensure that public health is being adequately considered. The advisor will prepare a summary report on the potential health risks posed by the site and

Statement of Work (cont.)

how EPA proposes to address these risks. The advisor also will examine the Record of Decision (ROD) and prepare a memorandum on the chosen method of cleanup. Additionally, this report will describe how major comments submitted by the Coalition and the general community were addressed by EPA in the responsiveness summary.

Remedial Design (Estimate: 100 hours)

The technical advisor will be expected to carry out oversight functions during this stage. The advisor will review the final design to ensure that the design is consistent with the ROD. The advisor will be expected to report his/her findings in memoranda submitted to the Coalition's Executive Committee. Excerpts about the progress at the site will be published in the Coalition newsletter.

Remedial Action (Estimate: 75 hours)

During the remedial action phase, the advisor will be expected to review the final inspection report. Within 30 days of the completion of the cleanup, the advisor will prepare a final report summarizing his/her findings. This report will be published in the Coalition newsletter.

Attachment 1.C.

Detailed Budget for Three Year Budget Period

1. Federal Share:

• Labor (Technical Advisor, and may include Administrator) 635 hours at \$76 per hour	\$48,260	48,260
• Travel	900	900
• Other Costs*		
Telephone	500	
Postage	200	
Copying, FAX, Printing	140	840
	Total	\$50,000

2. Matching Share:

• Incorporation		240
• Newsletter (writing, editing, distribution)		2,300
• Meeting space (\$50 per meeting, 6 meetings per year, or 50x6x3 years)		900
• Accounting, bookkeeping, (1 hr. per week, 3 years @ \$10 per hour)*		1,560
• Meetings of the Board of Directors (5 members, 20 meetings, 3 hours each, \$25 per hour per member)*	7,500	\$12,500
	Total	\$62,500

* Total administrative costs= 15.8% of total budget.